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## DECLARATION (37 CFR 1.63) FOR UTILITY OR DESIGN APPLICATION USING AN APPLICATION DATA SHEET (37 CFR 1.76)

<b>Title of Invention</b>	<b>Growth of Large Patterned Arrays of Neurons on CCD Chips using Plasma Deposition Methods</b>
<p>As the below named inventor(s), I/we declare that:</p> <p>This declaration is directed to:</p> <p><input type="checkbox"/> The attached application, or</p> <p><input checked="" type="checkbox"/> Application No. <u>10/809,269</u>, filed on <u>March 24, 2004</u>,</p> <p><input type="checkbox"/> as amended on _____ (if applicable);</p> <p>I/we believe that I/we am/are the original and first inventor(s) of the subject matter which is claimed and for which a patent is sought;</p> <p>I/we have reviewed and understand the contents of the above-identified application, including the claims, as amended by any amendment specifically referred to above;</p> <p>I/we acknowledge the duty to disclose to the United States Patent and Trademark Office all information known to me/us to be material to patentability as defined in 37 CFR 1.56, including for continuation-in-part applications, material information which became available between the filing date of the prior application and the national or PCT International filing date of the continuation-in-part application.</p> <p>All statements made herein of my/own knowledge are true, all statements made herein on information and belief are believed to be true, and further that these statements were made with the knowledge that willful false statements and the like are punishable by fine or imprisonment, or both, under 18 U.S.C. 1001, and may jeopardize the validity of the application or any patent issuing thereon.</p>	

### FULL NAME OF INVENTOR(S)

Inventor one: Ian G Brown

Signature: *Ian G Brown* Citizen of: Australia

Inventor two: Eleanor A Blakely

Signature: \_\_\_\_\_ Citizen of: United States

Inventor three: Othon R. Monteiro

Signature: \_\_\_\_\_ Citizen of: United States

Inventor four: James E Galvin

Signature: \_\_\_\_\_ Citizen of: United States

☒ Additional inventors or a legal representative are being named on 1 additional form(s) attached hereto.

This collection of information is required by 35 U.S.C. 115 and 37 CFR 1.63. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 1 minute to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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☐ as amended on \_\_\_\_\_ (if applicable);

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<b>FULL NAME OF INVENTOR(S)</b>	
Inventor one: <u>Ian G Brown</u>	
Signature: _____	Citizen of: <u>Australia</u>
Inventor two: <u>Eleanor A Blakely</u>	
Signature: <u>Eleanor A. Blakely</u>	Citizen of: <u>United States</u>
Inventor three: <u>Othon R. Monteiro</u>	
Signature: <u>[Signature]</u>	Citizen of: <u>United States</u>
Inventor four: <u>James E Galvin</u>	
Signature: <u>[Signature]</u>	Citizen of: <u>United States</u>
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<b>FULL NAME OF INVENTOR(S)</b>	
Inventor <del>XXX</del> <u>one</u> : <u>Kathleen A. Bjornstad</u>	
five: <u>Kathleen A. Bjornstad</u>	
Signature: <u>Kathleen A. Bjornstad</u>	Citizen of: <u>United States</u>
Inventor <del>XXX</del> _____	
Signature: _____	Citizen of: _____
Inventor <del>XXX</del> _____	
Signature: _____	Citizen of: _____
Inventor <del>XXX</del> _____	
Signature: _____	Citizen of: _____
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**POWER OF ATTORNEY TO PROSECUTE APPLICATIONS BEFORE THE USPTO**

I hereby appoint:

☒ Practitioners associated with the Customer Number:

08076

OR

☐ Practitioner(s) named below (if more than ten patent practitioners are to be named, then a customer number must be used):

Name	Registration Number

as attorney(s) or agent(s) to represent the undersigned before the United States Patent and Trademark Office (USPTO) in connection with any and all patent applications assigned only to the undersigned according to the USPTO assignment records or assignment documents attached to this form in accordance with 37 CFR 3.73(b).


**Assignee Name and Address:**

The Regents of the University of California  
1111 Franklin Street  
12th Floor  
Oakland, CA 94607-5200

**A copy of this form, together with a statement under 37 CFR 3.73(b) (Form PTO/SB/96 or equivalent) is required to be filed in each application in which this form is used. The statement under 37 CFR 3.73(b) may be completed by one of the practitioners appointed in this form if the appointed practitioner is authorized to act on behalf of the assignee, and must identify the application in which this Power of Attorney is to be filed.**

**SIGNATURE of Assignee of Record**

The individual whose signature and title is supplied below is authorized to act on behalf of the assignee

Name	Glenn R. Woods		
Signature		Date	6-28-04
Title	Laboratory Counsel, LBNL	Telephone	(510) 486-7025

This collection of information is required by 37 CFR 1.31 and 1.33. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 3 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

*If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.*

**STATEMENT UNDER 37 CFR 3.73(b)**Applicant/Patent Owner: Ian G. Brown, Eleanor A. Blakely, Othon R. Monteiro, James E. Galvin, and Kathleen BjornstadApplication No./Patent No.: 10/809,269 Filed/Issue Date: March 24, 2004Entitled: Growth of Large Patterned Arrays of Neurons on CCD Chips Using Plasma Deposition MethodsThe Regents of the University of California, a University

(Name of Assignee)

(Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

1. ☒ the assignee of the entire right, title, and interest; or2. ☐ an assignee of less than the entire right, title and interest.

The extent (by percentage) of its ownership interest is \_\_\_\_\_ %

in the patent application/patent identified above by virtue of either:

A. ☒ An assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the United States Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.**OR**B. ☐ A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as shown below:

1. From: \_\_\_\_\_ To: \_\_\_\_\_

The document was recorded in the United States Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

2. From: \_\_\_\_\_ To: \_\_\_\_\_

The document was recorded in the United States Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

3. From: \_\_\_\_\_ To: \_\_\_\_\_

The document was recorded in the United States Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

☐ Additional documents in the chain of title are listed on a supplemental sheet.☒ Copies of assignments or other documents in the chain of title are attached.

[NOTE: A separate copy (i.e., the original assignment document or a true copy of the original document) must be submitted to Assignment Division in accordance with 37 CFR Part 3, if the assignment is to be recorded in the records of the USPTO. See MPEP 302.08]

The undersigned (whose title is supplied below) is authorized to act on behalf of the assignee.

6-28-04

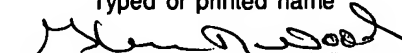
Date

(510) 486-7025

Telephone number

Glenn R. Woods

Typed or printed name



Signature

Laboratory Counsel, LBNL

Title

This collection of information is required by 37 CFR 3.73(b). The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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## ASSIGNMENT

LBNL Case No. IB-1888

For good and valuable consideration, the receipt of which is hereby acknowledged, ASSIGNOR(S)

1. Ian G. Brown
2. Eleanor A. Blakely
3. Othon R. Monteiro
4. James E. Galvin
5. Kathleen A. Bjornstad

hereby sells, assign(s) and transfer(s) to ASSIGNEE, The Regents of The University of California, a California Corporation, having its statewide administrative offices located at 1111 Franklin Street, 12<sup>TH</sup> Floor, Oakland, CA 94607-5200 and the successors, assigns and legal representatives of the ASSIGNEE all of its right, title and interest for the United States and its territorial possessions and in all foreign countries in and to, any and all improvements which are disclosed in the invention entitled:

### **TITLE: GROWTH OF LARGE PATTERNED ARRAYS OF NEURONS ON CCD CHIPS USING PLASMA DEPOSITION METHODS**

and which is found in U.S. Patent application serial no. 10/809,269 filed on, March 24, 2004.

and any legal equivalent thereof in a foreign country, including the right to claim priority and, in and to, all Letters Patent to be obtained for said invention by the above application or any continuation, division, continuation-in-part, extension or substitute thereof, and any reissue, reexamination or extension of said Letters Patent and all rights under all International Conventions for the Protection of Industrial Property;

ASSIGNOR(S) hereby covenants that no assignment, sale, agreement or encumbrance has been or will be made or entered into which would conflict with this assignment;

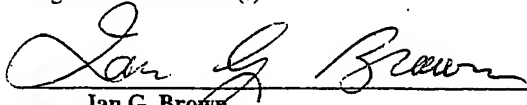
ASSIGNOR(S) further covenants that ASSIGNEE will, upon its request, be provided promptly with all pertinent facts and documents relating to said invention and said Letters Patent and legal equivalents as may be known and accessible to ASSIGNOR and will testify as to the same in any interference, litigation, or proceeding relating thereto and will promptly execute and deliver to ASSIGNEE or its legal representative any and all papers, instruments or affidavits required to apply for, obtain, maintain, issue or enforce said application, said invention and said Letters Patent and said equivalents thereof which may be necessary or desirable to carry out the purposes thereof. Any attorney of record is authorized and requested by the execution of this assignment to insert into this assignment the filing date and serial number of said application when officially known.

AND the ASSIGNOR(S) requests the Commissioner of Patents and Trademarks to issue said Letters Patent of the United States and any reissue or extension thereof to the ASSIGNEE, The Regents of The University of California.

Executed this:

5<sup>th</sup> day of May, 2004

Signature of Inventor(s)

  
Ian G. Brown

## ASSIGNMENT

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Executed this:

Signature of Inventor(s)

3<sup>rd</sup> day of May, 2004

Eleanor A. Blakely  
Eleanor A. Blakely

## ASSIGNMENT

LBNL Case No. IB-1888

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3. Othon R. Monteiro
4. James E. Galvin
5. Kathleen A. Bjornstad

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Executed this:

Signature of Inventor(s)

4 day of May, 2004

  
\_\_\_\_\_  
Othon R. Monteiro



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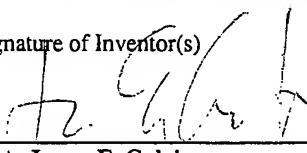
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7 day of May, 2004

Signature of Inventor(s)

  
\_\_\_\_\_  
James E. Galvin

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3<sup>rd</sup> day of May, 2004

Kathleen A. Bjornstad  
Kathleen A. Bjornstad